



RECORDS RETENTION SCHEDULE



Prepared by
STATE RECORDS BRANCH
Public Records Division
Kentucky Department for Libraries and Archives

STATE ARCHIVES AND RECORDS COMMISSION
DIVISION OF ARCHIVES AND RECORDS MANAGEMENT
DEPARTMENT OF LIBRARY AND ARCHIVES
COMMONWEALTH OF KENTUCKY

RETENTION AND DISPOSAL SCHEDULE NUMBER III

Date Approved DEC 19 1980
by Commission

Schedule for: PUBLIC SERVICE COMMISSION - Formerly:

ENERGY AND UTILITY REGULATORY COMMISSIONS
State Agency

Unit _____

APPROVALS

FOR STATE AGENCY

1. Richard D. Herman Jr.
Richard D. Herman Jr.
Agency Head and Title
2. Richard D. Herman Jr.
Agency Records Officer
3. Louis Bellard
Division of Archives and Records Management
State Archivist and Records Administrator
4. James A. White
Archives and Records Commission Chairman

WE THE UNDERSIGNED OR THE AGENTS THEREOF HAVE EXAMINED THE RECORD ITEMS BELOW AND RECOMMEND
THE DISPOSITION AS SHOWN

Robert Nichols
Records Analyst

Larry G. Foster
Assistant State Records Administrator

Jeffrey Michael Duff
Assistant State Archivist

THE DETERMINATION AS SET FORTH BELOW MEETS WITH MY APPROVAL

James B. Brinkman
Public Accounts

12-9-80
Approval Date

Attorney General

Approval Date

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Schedule Date: December 01, 1980

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Energy and Environment Cabinet
Public Service Commission

Series	Records Title		Contents	Retention		
	and Description	Function and Use		Disposition Instruction		
00949	Original Orders - (Final and procedural) Change Date: 3/12/1986 (V)			Agency: P	Records Center:	Archives Center:
				Retain in Agency		
00958	Water District Maps and Plans			Agency: I	Records Center:	Archives Center:
				Destroy when obsolete		
00959	Special Contracts (Between utility companies and special customers)			Agency: I	Records Center:	Archives Center:
				Destroy when obsolete		
00960	Work Papers to Determine Assessments			Agency: 10	Records Center:	Archives Center:
				Destroy after audit		
00961	Governor's Proposed Budget			Agency: 3	Records Center:	Archives Center:
				Destroy		
00962	Billing Analyses	Information illustrating actual billing of customers		Agency: 3	Records Center:	Archives Center:
				Destroy		

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Energy and Environment Cabinet
Public Service Commission

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
00963	Monthly Reports of Utility Companies			Agency: 3	Records Center:	Archives Center:
				Destroy		
03449	Pending Action Report (N) Change Date: 6/8/1989	This series was created to track all actions/motions of pending cases when a company files with the Public Service Commission to sell, transfer, change rates, etc. It provides commission staff with the information necessary to respond to those motions. There may or may not be a case filed from the motions.	Case Number; Filing Date; Letter/Petition/Motion; Procedural Action; Rehearing of Order Entered; Detailed Description of Requested Action; Status Report	Agency: 1 Month	Records Center: NA	Archives Center: NA
				Destroy		
03450	Staff Coordination Sheets (N) Change Date: 6/8/1989	This series is used to route orders of case files to the appropriate staff of the Public Service Commission. Orders are official findings or opinions of the Public Service Commission that may be either those which show final disposition of a case or which are procedural in nature, such as those setting hearing times and dates, requests for additional information, or dismissals. Any suggestions made by the staff concerning the orders are documented on this sheet.	Case Number; Order Due; Case Style; Order Drawn By; Team Leader; Date; First Circulation; Remarks; Second Circulation; Staff Approval	Agency: 1 Month	Records Center: NA	Archives Center: NA
				Destroy		
03451	Records of Commission Proceedings Involving Non-Case Matters (N) Change Date: 6/8/1989	This series documents preliminary hearings and/or meetings on issues concerning the public regarding problems or complaints with public service companies. This would include customers being overcharged for services, companies that are located out-of-state but want to service Kentucky residents, or companies that want to raise their rates. Some are public hearings or meetings set up to provide feedback and to gain public support to a problem. Some are formal meetings held at the Public Service Commission's offices. These records reflect issues that may lead to a formal case investigation or administrative regulations.	Transcript of Evidence; Appearances; Index; Statement; Sign-in Sheet; Page Number; Correspondence	Agency: 1 Year	Records Center: 9 Years	Archives Center: NA
				Transfer to State Records Center		
03489	Case Management System (N) Change Date: 9/14/1989	This system tracks utility company issues that must be decided by the Public Service Commission (PSC). The PSC must hear Original Orders (00949) from utility companies within the Commonwealth on rate increases, services, tariffs, and any construction desired. Once a proposal is made, a hearing date is set and a case number is assigned. In order for the PSC attorneys to prepare arguments against the proposals, some background information must be gathered. This system tracks the case status, attorney involved, company involved, and any action taken by the Commission, and it also schedules additional hearing dates. In addition it is used to compare and analyze the results of the final orders. ** Information is on hard disk drive which has 205 megabytes capacity.	Date Filed; Case Number; Company Name; Staff Member; Leader; Final Date; Nature of the Case	Agency: 6 Years	Records Center: NA	Archives Center: NA
				Transfer data to a history file one year after final order is issued. Erase and reuse history tapes after five years		

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Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
00950	Cross Index File	Used to locate cases by number, county, and company		Agency: P	Records Center:	Archives Center:
				Retain in Agency		
03490	Hearing Schedule (CMS Printout) (N) Change Date: 9/14/1989	This series is used to notify court reporters, hearing officers, and staff involved of the dates, times, and places of the Public Service Commission's hearings that will be held for any one month. It may be used by staff to compile cumulative monthly activity reports. This printout comes from the Case Management System (03489).	Month; Date; Type of Hearing; Case Number; Name of Company; Time; Room Number; Staff Members	Agency: 1 Month	Records Center: NA	Archives Center: NA
				Destroy		
03448	Case Docket Sheet (CMS Printout) (N) Change Date: 9/14/1989	This series is used as a calendar of hearing dates and tracks past actions taken by the Public Service Commission on utility company issues. It serves as a reminder to the Public Service Commission's attorneys of hearing dates and companies involved. It is used for quick reference and to answer inquiries about the status of a case. During the hearing, the docket is used to record the actions of the Commission. This printout comes from the Case Management System (03489). ** The reference rate is daily for the two month retention period.	Case Number; Name of Company; Days on Docket; Description of Action; Date Filed; Final Date; Leader; Staff Member	Agency: 2 Months	Records Center: NA	Archives Center: NA
				Destroy		
03627	Case Summary Report (N) Change Date: 6/14/1990	This series is a summary of the Public Service Commission's case files. It is used by the Rates and Tariffs Division to track case files and to quickly check the status of those cases. This series is also used to supply information to the National Association of Regulatory Utilities Commission (NARUC) and used to supply statistical information for the Bi-Annual Report that goes to the Legislature.	Case #; Company or case title; Type of case; Date filed; Date of order; Questions-Was case connected to another case?, Did order reflect any new policy decision; Additional indepth questions; Utility ID #; Staff member assigned to case; Date Summary Issued; Date Summary Returned; Signature; Basic Rates Form; Utility Rate Increase Case Form(Annualized Figures); Construction Form-Type of construction, Construction costs, Commission action; Securities Form - Type of Issue, Issue sold to; Notes; Date of Hearing; Disposition; Purchased Gas, Energy, and Water Adjustments; Capital Structure Ratio - All are PSC Form A20.	Agency: Indefinite	Records Center: NA	Archives Center: NA
				Destroy ten years after case is closed		

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Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
00951	Utility Company Tariffs			Agency: P	Records Center:	Archives Center:
				Retain in Agency		
00952	Original Cost Studies (Studies of utility plant's cost)			Agency: P	Records Center:	Archives Center:
				Retain in Agency		
00953	Annual Assessment Books	Assessment records of utility companies		Agency: P	Records Center:	Archives Center:
				Retain in Agency		
00954	Case Records (Documentary history of facts of cases) (N)	These files document all actions taken and the history of cases filed with the Public Service Commission. When a utility company (under the Public Service Commission's jurisdiction), desires a rate adjustment, permission to construct, sell, transfer, etc., they file an application with the Commission. This begins the case file. All activities which follow are documented in this case file. The Public Service Commission can also file cases against companies if the commission feels there is a need to investigate. These files are called administrative case files. ** 245.0 cubic feet ** 582 rolls of microfilm ** 1934 to 1981 cases have been microfilmed. Because of staff shortages and indexing problems these files will be stored in the Archives Center until a decision is made to continue microfilming.	Application; Exhibits; Maps; Bond Resolutions; Financial Data; Consumer Protest Letters; Orders of Public Service Commission; Staff Deficiency Sheets; Hearing Transcripts; Motions to Intervene; Staff Audit Reports; Transmittal Letters; Correspondence	Agency: 5 years	Records Center: NA	Archives Center: Permanent
				Transfer to State Archives Center five (5) years after closure of case		
00955	Annual Reports of Utility Companies Change Date: 3/1/1981			Agency: 10	Records Center:	Archives Center: P
				Transfer to State Archives		
00956	Current Case Files	Cases before the courts		Agency: I	Records Center:	Archives Center:
				Transfer to case records file when case is completed		
00957	General Working Papers	Notes and studies of cases		Agency: I	Records Center:	Archives Center:
				Destroy when case is completed		